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Referral and Coordination Workshop

By

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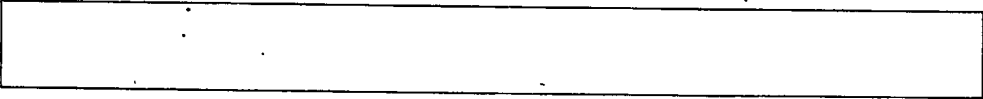
Objectives

- **Generate Tasking**
- ![]

- Routine Piggyback

- Returned Response

- Internal Coordination

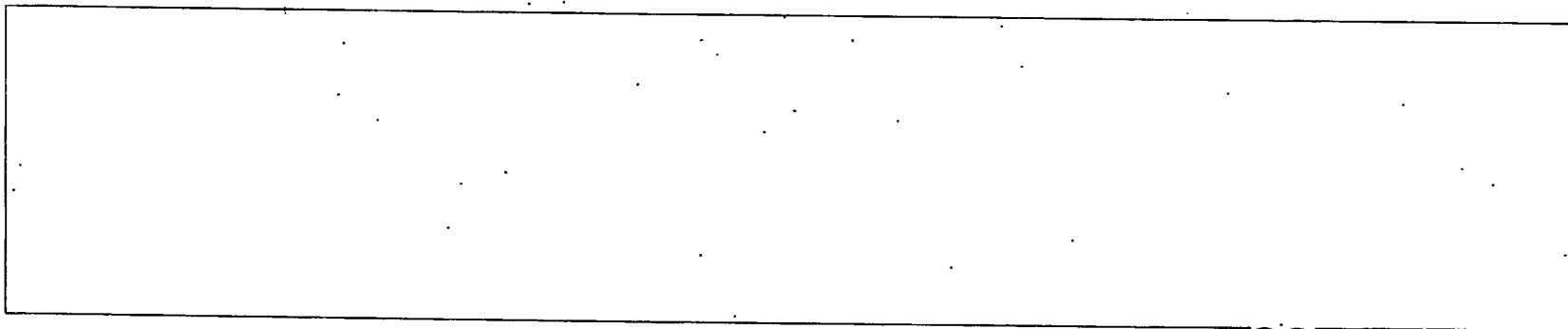- NARA and Presidential Libraries

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Referral and Coordination

- A coordination has <u>CIA information</u> in documents not originated by CIA and sent for consultation and response back to referring agency.

- Most cases, we receive a combined (referral/coordination) set of documents in one case. We respond to the requester and back to the referring agency.

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Typical Workflow

- Receipt of referral in Registry
- Registry creates new case
- Registry scans initial request into new case
- Case assigned to case manager
- Case manager does defined research against case subject history and document release history
- Prepare scan request

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Typical Workflow

- Generate tasking

- Documents reviewed by IROs

- Case manager monitors for return responses

- Response returned by IRO

- Accept or reject IRO response

- Additional taskings on IRO recommendations

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Typical Workflow

- Ready for final - careful, read and print all comments
- Merge redactions and clean-up documents
- Sanitize metadata if necessary
- Product Generation – send to burning
- Product QA – pass or fail documents, ready for release
- Fail – Issue Resolution, fix issues – repeat burning
- Identify new releases
- Prepare final letter for conclusion
- Respond to requester or back to OGA, and sometimes both

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Initial Processing

- Reassign case
- Correspondence date stamped
- Correspondence scanned in case
- Memo or letter addressed to the CIA/IPC
- Original request letter received
- Ensure case ID, requester name, case subject, and external ID in Cadre matches label

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Initial Processing

- Verify receipt of all documents referred
- Case type is FOIA
- Status is open initial (OPENI)
- Action is Referral/Coord, not Search
- Case manager assigned correctly
- Verify check box litigation or appeal if appropriate

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Initial Processing

- Verify Requester Profile history: address, fees, frequency
- Verify case subject accurate - change to make it more appropriate for future searches
- Verify External agency
- Verify External ID
- Change fee information – no fees

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Quick notes

- Referrals received where requester owes fees; under regulation 1900.11 requests received from members of the public who owe outstanding fees for services at this agency or other agencies <u>will not be accepted</u> and all action shall be terminated. This is handled on a case by case basis.

- <u>Referrals</u> – <u>Always conduct searches on case subject</u> to identify if we received identical or similar request on topic referred.

- Verify any [   ] on subject referred.

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Quick notes

- Other referrals on the same topic.

- Direct request, third-party documents located, referred for direct response. Case closed. A year later, same documents returned to us for review of CIA information. If case is closed, open new case, copy original documents in new case, reference old case. Identify this information in your tasking to directorate that located the previous document.

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Document Preparation

- Prepare each document for scanning
- Separate CIA documents if attached to other agency documents
- Scan sections of cables as one.
- Partial document – only required to review what was referred to us
- Doc with missing pages – make note in tasking
- Separate attachments when embedded as one large document

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Document Preparation

- Attachments previously released.
- Locate, review, and treat document the same.
- More difficult to locate if embedded in larger document.
- Determine equities for each document to be tasked

Useful tasking tools
- FOIA reference guide by topics (appendix J).
- [ ] guidelines on Publications and Organizations
- Google and Intelink
- Agency Release panel link
- Reviewers handbook

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Case research

- <u>ALWAYS USE WILDCARDS</u>
- Search requester profile history and fees
- Conduct searches on requester last name, first name (all cases) and when subject is on a person of interest
- Conduct searches on case subject – look for previous request on same topic, or similar topics. How did we treat previous cases.
- Assume variations, misspellings, so search broad on the case subject, search multiple keywords
- Conduct search on case external ID for frequent referrals related to same subject – review can be treated with consistency

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Case research

- Check current and past referrals for same subject.
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- Did we release or deny information to requester
-
-
- Do we have any open appeal or litigation cases on same topic – If so, cannot release until those cases completed
- Do we have a piggyback case – will discuss later
- Let IRO's know everything in your tasking about case history on previous subjects (⬜⬜⬜⬜multiple cases, ⬜⬜etc) and document release history

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Document research

- <u>ALWAYS USE WILDCARDS</u>
- Conduct research to determine if documents referred have already been treated
- Cadre searches against all release programs
- Conduct multiple searches using different variations (full-text, keywords, title, pub date)
- Search pub dates in between the actual date (1/1/2001) to (1/4/2001) to locate a document dated 1/2/2001
- Search doc title and pub date to narrow search
- Search full-text and pub date to narrow search
- Search Title or Full-text by itself
- Never rely on one single search, always try multiple searches

Document research

- Search CADRE ID or MORI ID numbers
- Search inside associated cases
- If documents have attachments, search each attachment separately to see if previous release
- Document all results
- Make notes on all hit lists to help identify your results for QA
- Under 2 year rule – if you locate direct hit (exact duplicate), copy original from CADRE into new case. Release previous version at time of final.
- Over 2 year rule, copy original and task for re-review
- Find version of document, task for review, but reference document treated.

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Permanent Residential Alien status related to referrals – now handled by Privacy branch

- Documents referred for review on a person of interest
- Need citizenship status of requester
- Person with PRA status has the same rights as a US citizen
- What is required?
- Alien register number, Date of PRA status, Date of expiration, Sworn statement, privacy waiver signed and notarized authorizing release to third party or person coming in for the information on behalf of them
- If unsure of citizenship status, assume foreign national status
- If documents referred fall outside of PRA status, open as a FOIA
- If documents are within PRA status, open as a Privacy case

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Preparing a scan request

- Go into Primary case and select scanning request icon
- Select new scan
- Select number of documents (keep in batches of 20)
- Select originating agency (categorize by agency)
- Select save button
- Batch number assigned
- Number of documents displayed and status is N for new
- Select forward button
- Status changes to P for process
- Print scan request form
- Attach form to documents, walk over to scanning department
- When returned, select all documents and change from new to Inwork status
- The documents move from action to All documents folder in primary screen

Changing Metadata

- Locate and right click on document
- Open document index to review document metadata
- Verify Pub date
- Verify document title
- Verify classification
- Verify Control number
- Verify keywords if necessary
- Verify Copyright or Illegible checked if necessary
- Verify Originating agency properly selected on metadata

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Generate Tasking

- Go to primary case, move to generate taskings workflow
- Click on Task and select task entry
- Fill out task entry form
- Task type review
- Fill in defined tasking language in MS Word template
- Select appropriate IRO to task and select + to add them to list
- Click and drag documents from case into tasking form
- Click on forward icon to save and forward the task into the IRO tasking workflow
- Forward case to Review Response workflow

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Routine Piggyback

- Referring agency receives separate FOIA requests on the same subject
- Referring agency only refers one set of documents for initial review
- Referring agency sends one memorandum identifying two requesters for response on same referral
- Referring agency sends each original request letter to show two separate requesters on same subject
- Registry opens two separate FOIA cases
- Registry scans referring memorandum letter into both cases
- Registry scans each original request into specific case

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Routine Piggyback

- Conduct defined case and document research on case subject and document release history

- Cross reference (Piggyback) child case to parent case that will be tasked

- Child case is moved to review response in Cadre workflow, it is not tasked

- Child case file remains with parent case file to keep files together for final response

- File by parent case for locating file

- Prepare main case – task and file for eventual response

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Review Response

- Monitor notifications for completed task
- Click on task manager icon
- Select appropriate directorate in task doc list where status displays completed
- Select Task Information tab and review returned response
- Select Accept or Reject icon
- Print tasking response, including all comments
- If complete, move case workflow to Ready for Final
- If additional taskings, prepare internal coordination

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Internal Coordination

- Click on Task and select task entry
- Fill out task entry form
- Task type Referral internal
- Fill in defined tasking language in MS Word template
- Select appropriate IRO to task and select + to add them to list
- Click and drag documents from case into tasking form
- Click on forward icon to save and forward the task into the IRO tasking workflow
- Case remains in Review Response workflow

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PRESIDENTIAL LIBRARIES

- Assign limited release status (RIFLIM; RIPLIM)
- No approval for release stamp on CIA documents in FOIA program
- Scan all documents received or copy exact duplicates from hitlist
- Piggyback case and release previous version if reviewed under two years ago
- Piggyback case if you find copy currently tasked and reference that case
- If reviewed more than two years ago, task document and reference the old release citing case number and DocID with status of previous case.
- Not originated by CIA, IRO recommends additional external coordinations, we respond back to the Library and reference additional recommendations
- If CIA-originated, IRO recommends external coordination, we must coordinate the documents before responding to the Library.
- Follow Library instructions for NSC waiver rules. Do the documents need to be referred to NSC per NSC guidance?

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- Use approve for release stamp on all CIA originated documents
- Use PUBLIC (PUB) release status on all CIA-originated documents (RIPPUB) in FOIA program
- Repeat same steps in processing

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